



3726#

PATENT  
0303-0436P

## IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: Tomohiko YAMAMOTO et al. Conf.: 1638  
Appl. No.: 09/677,031 Group: 3726  
Filed: September 29, 2000 Examiner: J.C. HONG  
For: APPARATUS AND METHOD FOR TIGHTENING  
FIXING BAND AND CONSTANT VELOCITY  
UNIVERSAL JOINT APPARATUS

**RECEIVED**  
AUG 29 2003  
TECHNOLOGY CENTER R3700

INFORMATION DISCLOSURE STATEMENT  
(SUBMISSION AFTER FILING OF AN APPLICATION  
BUT BEFORE FINAL REJECTION OR NOTICE OF ALLOWANCE  
OR CONCURRENTLY WITH A RULE 1.114 RCE APPLICATION)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

August 25, 2003

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications, or other information submitted for consideration by the Office are listed on the PTO-1449(s), attached hereto.

II. COPIES (check at least one box)

- a. ☒ This application was filed before June 30, 2003. Accordingly, submitted herewith is a legible copy of (i) each U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.
- b. ☐ This application was filed on or after June 30, 2003. Accordingly, copies of cited US patents and patent application publications therefore are not included. Copies of foreign

patent documents and non-patent literature are included.

- c. ☐ Some or all of the documents listed on the PTO-1449 are not enclosed because they were cited in the International Search Report and copies should already be in the PTO file. If copies are needed, please contact the undersigned.

III. CONCISE EXPLANATION OF THE RELEVANCE

(check at least one box)

- a. ☒ **DOCUMENTS IN THE ENGLISH LANGUAGE**

The patents, publications, or other information listed on the attached PTO 1449 are in the English language and therefore, do not require a statement of relevancy.

- b. ☒ **DOCUMENTS NOT IN THE ENGLISH LANGUAGE**

A concise explanation of the relevance of all patents, publications, or other information listed that is not in the English language is as follows:

With the exception of the Italian patent and JP-61-171613, English language Abstracts of the cited foreign patents are attached. Accordingly, it is believed that the requirement for a statement of relevancy has been satisfied.

- c. ☐ **ENGLISH LANGUAGE SEARCH REPORT**

An English language version of the search report or action that indicates the degree of relevance found by the foreign office is attached, thereby satisfying the requirement for a concise explanation. See MPEP 609(III)(A)(3).

- d. ☒ **OTHER**

The following additional information is provided for the Examiner's consideration.

Copies of the cited Italian Patent No. 369930 and British Patent Nos. 8119769 and 8204198 are not presently available to the Applicants. However, copies will be submitted as soon as they can be obtained. All of the documents cited in this Information Disclosure Statement were cited during

prosecution of U.S. Patent No. 5,951,401, which corresponds with the present application.

FEES

- IV. ☐ THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b):  
(check one box)
- a. ☐ within three months of the filing date of a national application (37 C.F.R. § 1.97(b)(1)). No fee or statement is required. *(This section is not to be used with RCE's.)*
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or statement is required.
- c. ☐ concurrently with the filing of a Request for Continued Examination under § 1.114 (37 C.F.R. § 1.97(b)(4)). No fee or statement is required.
- d. ☐ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or statement is required.  
In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the statement under 37 C.F.R. § 1.97(e) below, or, if no statement has been made, charge our deposit account in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).

- V. ☒ THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):  
(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c)(1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c)(2)).

- a. ☒ No statement; therefore, a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).  
or
- b. ☐ See the statement below. No fee is required.

VI. STATEMENT UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby states that

- a. ☐ each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the IDS.
- c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned states that each item of information contained in the IDS was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby states that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

VII. PAYMENT OF FEES (check one box)

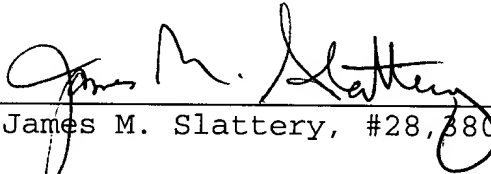
- ☒ A check in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p) is enclosed for the above-identified fee.
- ☐ Please charge Deposit Account No. 02-2448 in the amount required by 37 C.F.R. § 1.17(p) for the above-indicated fee. A triplicate copy of this paper is attached.
- ☐ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule and charge the appropriate fee to Deposit Account No. 02-2448.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. § 1.16 or under § 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

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(703) 205-8000

JMS/slb  
0303-0436P

Attachment(s): ☒ PTO-1449  
☒ Documents  
☐ Foreign Search Report  
☒ Fee  
☐ Other:

(Rev. 08/14/03)



Form PTO-1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

(Use several sheets if necessary)

ATTY DOCKET NO.  
0303-0436PAPPLICATION NO.  
09/677,031APPLICANT  
Tomohiko YAMAMOTO et al.FILING DATE  
September 29, 2000GROUP  
3726**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	Kind	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	US RE 30,606	A	1981-05-12	SHARP			
	US 3,282,342	A	1966-11-01	MOTT			
	US 4,068,499	A	1978-01-17	SHARP			
	US 4,273,209	A	1981-06-16	ORAIN			
	US 4,279,131	A	1981-07-21	PRINGLE			
	US 4,318,282	A	1982-03-09	ORAIN			
	US 4,371,356	A	1983-02-01	DORE			
	US 4,518,370	A	1985-05-21	ORAIN			
	US 4,698,046	A	1987-10-06	POULIN			
	US 4,778,026	A	1988-10-18	UCHIDA et al.			

**RECEIVED**  
AUG 29 2003  
TECHNOLOGY CENTER R3700**FOREIGN PATENT DOCUMENTS**

	Office	DOCUMENT NUMBER	Kind	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
								YES	NO
	US	4036280	A	1991-05-29	GERMANY			ABS	
	US	369930	A	1939-08-01	ITALY				XXX
	US	54-105634	A	1979-08-18	JAPAN			ABS	
	US	58-50349	A	1983-03-24	JAPAN			ABS	
	US	6349526	A	1988-03-02	JAPAN			ABS	
	US	3224831	A	1991-10-03	JAPAN			ABS	
	US	8119769	A	1981-06-01	UNITED KINGDOM				
	US	8204198	A	1982-02-01	UNITED KINGDOM				
	US	2218778	A	1989-11-22	UNITED KINGDOM				

**OTHER DOCUMENTS**

(Include Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.)


EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Form PTO-1449  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  (Use several sheets if necessary)	ATTY DOCKET NO. 0303-0436P	APPLICATION NO. 09/677,031
	APPLICANT Tomohiko YAMAMOTO et al.	
	FILING DATE September 29, 2000	GROUP 3726

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	Kind	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	US 4,829,849	A	1989-05-16	MASUDA et al.			
	US						
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**FOREIGN PATENT DOCUMENTS**

	Office	DOCUMENT NUMBER	Kind	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
								YES	NO
	US	61-171613	A	1986-08-02	JAPAN				XX
	US	58-142027	A	1983-08-23	JAPAN			ABS	

**OTHER DOCUMENTS**

(Include Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.)


EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	